

DOCKET NO.: MS303530.01/MSFTP471US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: **Eric J. Horvitz**
Serial No.: **10/610,486**
Filed: **June 30, 2003**
For: **IDEAL TRANSFER OF CALL HANDLING FROM AUTOMATED SYSTEMS TO HUMAN OPERATORS BASED ON FORECASTS OF AUTOMATION EFFICACY AND OPERATOR LOAD**
Art Unit: **2643**
Examiner: **Unknown**

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. §1.97 and §1.98, and in compliance with 37 C.F.R. §1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications; (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. §120; and/or (c) U.S. Patent(s) and published applications(s).

Serial No.: _____
Filing Date: _____

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. §1.97(b) this Statement is being filed (one must be checked):

- (a) Within 3 months of the filing date or date of entry into the National Stage.
- (b) Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063 for consideration of this Statement.
- (c) Before the mailing date of an Office Action after the filing of a request for continued examination under 1.114.

(d) After the period set forth in 37 C.F.R. §1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) The required certification is given below, or

(2) Regarding the fee set forth in 37 C.F.R. §1.17(p) for consideration of this Statement :

(i) Enclosed is a check covering the fee;

(ii) Charge the fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063; or

(iii) Enclosed is a credit card payment form covering the fee.

(e) After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below. Regarding the fee set forth in 37 C.F.R. §1.17(i)(1) for consideration of this Statement:

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(3) Enclosed is a credit card payment form covering the fee.

4. Certification (if applicable)

(a) The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1063.

Respectfully Submitted,

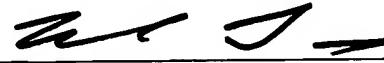
By 
Himanshu S. Amin
Reg. No. 40,894

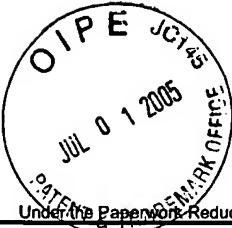
Amin & Turocy, LLP
24TH Floor, National City Center
1900 East 9th Street
Cleveland, Ohio 44114
(216) 696-8730

CERTIFICATE OF MAILING

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450. Alexandria, VA 22313-1450.

C-27-05
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Himanshu S. Amin



PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031
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Substitute for form 1449/PTO

Complete if Known**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1

of 6

Application Number	10/610,486
Filing Date	June 30, 2003
First Named Inventor	Eric J. Horvitz
Art Unit	2643
Examiner Name	Unknown

Attorney Docket Number MS303530.01/MSFTP471US

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	US-	6,513,046	01-28-2003	Abbott, III et al.	
	US-	6,747,675	06-08-2004	Abbott et al.	
	US-	6,801,223	10-05-2004	Abbot et al.	
	US-	6,842,877	01-11-2005	Robarts et al.	
	US-	6,466,232	10-15-2002	Newell et al.	
	US-	6,549,915	04-15-2003	Abbott, III et al.	
	US-	6,791,580	09-14-2004	Abbott et al.	
	US-	6,812,937	11-02-2004	Abbott et al.	
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	US-	2001/0043232	11-22-2001	Abbott et al.	
	US-	2002/0044152	04-18-2002	Abbott, III et al.	
	US-	2002/0052963	05-02-2002	Abbott et al.	
	US-	2002/0054174	05-09-2002	Abbott et al.	
	US-	2002/0080155	06-27-2002	Abbott et al.	
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	US-	2002/0087525	07-04-2002	Abbott et al.	
	US-	2003/0046401	03-06-2003	Abbott et al.	
	US-	2005/0034078	02-10-2005	Abbott et al.	
	US-	2001/0040590	11-15-2001	Abbott et al.	

FOREIGN PATENT DOCUMENTS

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		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
		EP 1 176 838 A	01-30-2002	Hewlett-Packard		

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		Filing Date	June 30, 2003
		First Named Inventor	Eric J. Horvitz
		Art Unit	2643
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Sheet 12 of 16		Attorney Docket Number	MS303530.01/MSFTP471US

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		US- 2001/0043231	11-22-2001	Abbott et al.
		US- 2002/0032689	03-14-2002	Abbott, III et al.
		US- 2002/0052930	05-02-2002	Abbott et al.
		US- 2002/0054130	05-09-2002	Abbott, III et al.
		US- 2002/0078204	06-20-2002	Newell et al.
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		US- 5,493,692	02-20-1996	Theimer et al.
		US- 5,555,376	09-10-1996	Theimer et al.
		US- 5,611,050	03-11-1997	Theimer et al.
		US- 5,544,321	08-06-1996	Theimer et al.
		US- 5,603,054	02-11-1997	Theimer et al.
		US- 5,812,865	09-22-1998	Theimer et al.
		US- 2003/035532 A1	02-20-2003	Suresh Ganesan
		US-		
		US-		
		US-		

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NON PATENT LITERATURE DOCUMENTS				
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		ANDY HARTER, et al., A Distributed Location System for the Active Office, IEEE Network, 1994, pp. 62-70.		
		GUANLING CHEN, et al., A Survey of Context-Aware Mobile Computing Research, Dartmouth Computer Science Technical Report, 2000, 16 pages.		
		WILLIAM NOAH SCHILT, A System Architecture for Context-Aware Mobile Computing, Columbia University, 1995, 153 pages.		
		MIKE SPREITZER, et al., Providing Location Information in a Ubiquitous Computing Environment, SIGOPS '93, 1993, pp.270-283.		
		MARVIN THEIMER, et al., Operating System Issues for PDAs, In Fourth Workshop on Workstation Operating Systems, 1993, 7 pages.		
		ROY WANT, Active Badges and Personal Interactive Computing Objects, IEEE Transactions on Consumer Electronics, 1992, 11 pages, Vol. 38 - No. 1.		
		BILL N. SCHILIT, et al., The ParcTab Mobile Computing System, IEEE WWOS-IV, 1993, 4 pages.		✓
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		BILL N. SCHILIT, et al., Customizing Mobile Applications, Proceedings USENIX Symposium on Mobile and Location Independent Computing, August 1993, 9 pages.		
		MIKE SPREITZER, et al., Architectural Considerations for Scalable, Secure, Mobile Computing with Location Information, In The 14th International Conference on Distributed Computing Systems, June 1994. pages 29-38.		

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				First Named Inventor	Eric J. Horvitz
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				Examiner Name	Unknown
Sheet	4	of	6	Attorney Docket Number	MS303530.01/MSFTP471US

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		MIKE SPREITZER et al., Scalable, Secure, Mobile Computing with Location Information, Communications of the ACM, July 1993, 1 page, Vol. 36 - No. 7.	
		ROY WANT, et al., The Active Badge Location System, ACM Transactions on Information Systems, January 1992, pp. 91-102, Vol. 10 - No. 1.	
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		M. BILLINGHURST, et al., An Evaluation of Wearable Information Spaces, Proceedings of the Virtual Reality Annual International Symposium, 1998, 8 pages.	
		BRADLEY J. RHODES, Remembrance Agent: A continuously running automated information retrieval system, The Proceedings of The First International Conference on The Practical Application Of Intelligent Agents and Multi Agent Technology, 1996, pp. 487-495.	
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		BRADLEY J. RHODES, The Wearable Remembrance Agent: A System for Augmented Theory, The Proceedings of The First International Symposium on Wearable Computers, October 1997, pp. 123-128.	
		ERIC HORVITZ, et al., Attention-Sensitive Alerting in Computing Systems, Microsoft Research, August 1999.	
		BILL N. SCHILIT, et al., Disseminationg Active Map Information to Mobile Hosts, IEEE Network, 1994, pages 22-32, Vol. 8 - No. 5.	
		MARK BILLINGHURST, et al., Wearable Devices: New Ways to Manage Information, IEEE Computer Society, January 1999, pp. 57-64.	

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		THAD EUGENE STARNER, Wearable Computing and Contextual Awareness, Massachusetts Institute of Technology, June 1999, 248 pages.		
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		Workshop on Wearable Computing Systems, August 19-21, 1996.		
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		GREGORY R. TATCHELL, Problems with the Existing Telephony Customer Interface: The Pending Eclipse of Touch-Tone and Dial-Tone, CHI 96, April 13-18, 1996, pp. 242-243.		
		DAVID W. ASHLEY, An Introduction to Queuing Theory in an Interactive Text Format, INFORMS Transactions on Education, 2002, pp. 96-98, Vol. 2-Issue 3.		

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				<i>Application Number</i>	10/610,486
				<i>Filing Date</i>	June 30, 2003
				<i>First Named Inventor</i>	Eric J. Horvitz
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		DAVID MAXWELL CHICKERING, The WinMine Toolkit, Microsoft Research, 2002, 3 pages.	
		DIANE J. LITMAN, et al., Designing and Evaluating an Adaptive Spoken Dialogue System, User Modeling and User-Adapted Interaction, 2002, pp. 111-137, Vol. 12, Kluwer Academic Publishers, Netherlands.	
		MARILYN A. WALKER, et al., Automatically Training A Problematic Dialogue Predictor for a Spoken Dialogue System, Journal of Artificial Intelligence Research, Decembet 1, 2001, pp. 387-413.	
		MARILYN WALKER, et al., Learning to Predict Problematic Situations in a Spoken Dialogue System: Experiments with How May I Help You?, Proceedings of NAACL-2000, 2000, pp. 210-217.	
		IRENE LANGKILDE, et al., Automatic Prediction of Problematic Human-Computer Dialogues in 'How May I Help You?', Proceedings of IEEE Workshop on Automatic Speech Recognition and Understanding, 1999, 4 pages.	
		DIANE J. LITMAN, et al., Automatic Detection of Poor Speech Recognition at the Dialogue Level, Proceedings of ACL-99, 1999, 8 pages.	
		C. LARCINESE. European Search Report. The Hague, The Netherlands. April 21, 2005. 2 pages.	

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